R10 InfoPage

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Q&D - Operations Offices Records Disposition Schedules - Washington

RECORD SERIES DESCRIPTION	DISPOSITION	NARA #
Link to the common	Link to your full printable	
Housekeeping Schedules	woo	
not included in this table	File Plan Spreadsheet	1
CONGRESSIONAL CORRESPONDENCE: Contains copies of congressional correspondence received and referred to the program offices for reply. Includes copies of responses and background materials such as letters and memoranda, notes from meetings or telephone calls, transcripts from congressional inquiries or hearings, testimonies, and public hearing records. Includes correspondence from members of Congress and its committees. Item a: Record copy Function: 303-100 132	Item a:Disposable Close inactive records at end of congressional session. Destroy 5 years after file closure.	N1-412-07-1/3 Status: Final, 03/30/2007
CONTINUITY OF OPERATIONS (COOP) EXERCISES: Contains consolidated or comprehensive reports reflecting agency-wide results of tests conducted under continuity of operations (COOP) plans. Also includes background documents such as instructions to members participating in test, staffing assignments, messages, and tests of communications and facilities. Item a: Consolidated and comprehensive reports Item b: Background documents Function: 302-095 603	Item a: Disposable • Close inactive records when report is completed. • Destroy 5 years after file closure. Item b:Disposable • Close inactive records when report is completed. • Destroy 3 years after file closure.	N1-412-07-54/8 (Item a) GRS 18/28 (Item b Status: Final, 08/31/2008
CONTINUITY OF OPERATIONS (COOP) PLANS: Contains continuity of operations (COOP) plans and directives for the continued operation of EPA in times of an emergency or disaster. Includes related background documents such as correspondence, reports and instructions, charts and plans used in defense mobilization planning, evacuation shelters, emergency relocation and the vital records protection program. Item a: Plan or directive Item b: Background documents Function: 302-095 602	Item a:Disposable Close inactive records when superseded or canceled. Destroy 5 years after file closure. Item b:Disposable Close inactive records when superseded or canceled. Destroy 3 years after file closure.	N1-412-07-54/7 (Item a) GRS 18/27 (Item b Status: Final, 12/31/2012
DIRECTIVES AND POLICY GUIDANCE DOCUMENTS ISSUED BY SPECIFIC PROGRAMS AND REGIONS: Includes all records that document EPA's major policy decisions and program operational procedures originated within each program and regional office providing the mandates for overall and specific program direction and action. Records consist of official policy decisions, delegations of authority, memos that set policy or issue guidance, operating guidance, procedures manuals, other procedural materials, technical resource documents, regulatory interpretation and implementation documents, and mandates for action. These collections of materials may be in the form of a program directives system or a program compendium with finding aids and indexes.	Item a(1):Permanent Close inactive records upon issuance or publication or when superseded. Transfer to the National Archives in 5 year blocks, 20 years after file closure. Item a(2):Permanent Close inactive records upon issuance or publication or when superseded. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.	N1-412-06-7 Status: Final, 12/31/2010

Item a(2): Published or released to the public and related background materials - Electronic

Item a(3): Published or released to the public and related background materials - Electronic copy of records transferred to the National Archives

Item b: Unpublished or not released to the public and related background materials

Function: 306-112 007

DISASTER RESPONSE: Includes records that document EPA's response to disasters or emergencies. Records include, but are not limited to, damage surveys, damage assessments, environmental samplings, GIS data, inspection reports, correspondence, interagency documentation, and administrative support documents. Excludes: Records related to the logistical or administrative aspects of a response (e.g., staffing, travel, timekeeping, etc.) that are covered by their specific administrative schedules.

Item a: Presidential declared major disasters
Includes records documenting disasters of an
extraordinary nature, i.e., major natural disasters such as
floods, earthquakes, and hurricanes (e.g., Hurricane
Katrina), as well as man-made disasters such as space
accidents and terrorism (e.g., World Trade Center). The
Agency Records Officer will notify offices when records are
to be maintained under this item.

Item a(1): Presidential declared major disasters - Nonelectronic

Includes records documenting disasters of an extraordinary nature, i.e., major natural disasters such as floods, earthquakes, and hurricanes (e.g., Hurricane Katrina), as well as man-made disasters such as space accidents and terrorism (e.g., World Trade Center). The Agency Records Officer will notify offices when records are to be maintained under this item.

Item a(2): Presidential declared major disasters -Electronic

Includes records documenting disasters of an extraordinary nature, i.e., major natural disasters such as floods, earthquakes, and hurricanes (e.g., Hurricane Katrina), as well as man-made disasters such as space accidents and terrorism (e.g., World Trade Center). The Agency Records Officer will notify offices when records are to be maintained under this item.

Item a(3): Electronic copy of records transferred to the National Archives

Includes records documenting disasters of an extraordinary nature, i.e., major natural disasters such as floods, earthquakes, and hurricanes (e.g., Hurricane Katrina), as well as man-made disasters such as space accidents and terrorism (e.g., World Trade Center). The Agency Records Officer will notify offices when records are to be maintained under this item.

Item b: Other Presidential declared emergencies Includes records documenting short-term federal emergencies requiring federal assistance to supplement state and local efforts to save lives, protect property, or to lessen or avert the threat of a catastrophe.

Item c: Local EPA emergencies

Includes local emergencies occurring in or near EPA facilities (e.g., flooding due to a broken pipe) affecting the ability to conduct EPA business.

Delete after electronic record copy is successfully transferred to the National Archives.

Item b:Disposable

Close inactive records upon decision to not publish or issue.

Destroy 10 years after file closure.

Item a(1):Permanent

Close inactive records upon completion of each major benchmark.

Transfer to the National Archives 20 years after file closure.

Item a(2):Permanent

Close inactive records upon completion of each major benchmark.

Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.

Item a(3):Disposable

Close file upon transfer to the National Archives.

Delete after electronic record copy is successfully transferred to the National Archives

Item b:Disposable

Close inactive records upon completion of final inspection.

Destroy 10 years after file closure.

Item c:Disposable

Close upon completion of all clean up and restoration activities.

Destroy 10 years after file closure.

N1-412-07-61

Status: Final, 2/28/2011

SPECIFIC: Includes all cases referred to Office of Regional Counsel or other offices with enforcement authority, for action in accordance with the Comprehensive Environmental Response, Compensation, and Liability Act of 1980, as amended (CERCLA). Includes such actions as injunctive relief, natural resource damage actions, remedial investigation/feasibility study (RI/FS) special notices, administrative and judicial cost recovery settlements; administrative orders issued under CERCLA Sections

investigation/feasibility study (RI/FS) special notices, administrative and judicial cost recovery settlements; administrative orders issued under CERCLA Sections 104, 106, and 122; judicial settlements and orders under CERCLA Sections 106, 107, and 122; and federal facility agreements under CERCLA Section 120. Specific types of records found in this series include the Department of Justice (DOJ) referral package, attorney work products, case summaries, compliance status documents, discovery, litigation support documents, consent decrees, notices, pleadings, state and local enforcement records, subpoenas, witness lists, and 10-point settlement memos.

Item a: No legal action required and routine legal action cases;

Item b: Landmark cases
Function: 108-025-08 025

FOIA REQUEST FILES: <u>Correspondence files</u>. Files created in response to requests for information under the Freedom of Information Act (FOIA), consisting of the original request, a copy of the reply thereto, and all related supporting files which may include the original file copy of requested record or copy thereof.

Item a(1): Granting access to all the requested records Includes correspondence and supporting documents, excluding the official file copy of the records requested if filed herein.

Item a(2)(a): Non-existent records, inadequate description, or failure to pay reproduction fees, and request not appealed

Includes correspondence and supporting documents, excluding the official file copy of the records requested if filed herein.

Item a(3)(a): Denials, full or partial, and request not appealed

Includes correspondence and supporting documents, excluding the official file copy of the records requested if filed herein.

Item a(3)(b): Denials, full or partial, and request appealed

Includes correspondence and supporting documents, excluding the official file copy of the records requested if filed herein.

Item b: Official file copy of requested records

Function: 305-109-02-01 030

FORMERLY USED DEFENSE SITES (FUDS): Includes documents related to investigation and clean up activities of hazardous waste at formerly used defense sites (FUDS), also known as the Formerly Utilized Sites Remedial Action Program, carried out by the Army Corps of Engineers, in cooperation with EPA. Documentation may include sampling and assessment of contaminated areas, characterization of site conditions, determination of the nature and extent of contamination, selection of response actions, cleanup and closeout of sites, and correspondence with EPA, other federal, or state agencies.

Item a: Record copy

Function: 108-024-01-03 015

Close inactive records upon settlement or closing of case.

Destroy 30 years after file closure.

Item b: Permanent

Close inactive records upon settlement or closing of case.

Transfer nonelectronic records to the National Archives 30 years after file closure.

Transfer electronic records to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. Delete EPA reference copy 30 years after file closure.

Status: Draft, 12/31/2010

Item a(1):Disposable

Destroy 2 years after date of reply.

Item a(2)(a):Disposable

Destroy 2 years after date of reply.

Item a(3)(a):Disposable

Destroy 6 years after date of reply.

Item a(3)(b):Disposable

See disposition instructions for EPA 032 - Freedom of Information Act (FOIA) Appeals Files.

Item b:Disposable

Dispose of in accordance with the approved Agency disposition instructions for the related records, or with the related FOIA request, whichever is later.

GRS 14/11

Status: Final, 02/01/2007

Item a:Disposable

Close inactive records when EPA concurs with notification of no further action from Corps of Engineers.

Destroy 20 years after file closure.

N1-412-07-55/1

Status: Draft, 08/31/2007

government agencies, universities, non-profit	Destroy 10 years after file closure.	7/31/2010
organizations, Tribes, and other institutions to which EPA is a party, and that support EPA's environmental		
programs (other than Superfund site-specific, and	1	1
waste water construction and state revolving fund		
grants). Specific types of agreements include	I .	1
assistance agreements, grants, cooperative agreements, interagency agreements, agreements for		
guest" workers, and other types of program support	1	
agreements administered by headquarters or EPA		
regions and that provide for research, demonstration		
projects, training, fellowships, investigation, surveys,	1	
studies, or other types of program support activities.		
Also includes supporting documentation. Specific types	I .	I
of records include, but are not limited to,		
documentation of significant actions and decisions	I .	1
relating to and supporting the award of agreements,		
documentation of actions and decisions relating to the		
competition of agreements, announcements and solicitations of funding opportunities, justifications,	1	1
requests and justifications for the non-competitive		
award of agreements, cost estimates, scopes of work,	I .	1
correspondence, applications, pre-award reviews,		
funding decisions, award documentation,	I .	1 1
documentation relating to the evaluation of proposals		
and applications, conflict of interest documentation, transmittal correspondence, agreements, agreement		1
oversight activities, non-compliance documentation,	•	
dispute documentation, audit records, closeout		
documentation for completed agreements; and reports	I .	1
and evaluations resulting from agreements.		
Excludes: Final products and deliverables (EPA 258),	I .	I I
Superfund site-specific grants and agreements (EPA		
001), and waste water construction and state revolving	I .	1 1
fund grants (EPA 232).		_
Item a: Record copy		1
		1
Function: 205 003		900 004
Function: 205 003 OFFICE ADMINISTRATIVE FILES: Records	Item a:Disposable	GRS 23/1
Function: 205 003 OFFICE ADMINISTRATIVE FILES: Records accumulated by individual offices that relate to the	Item a:Disposable Destroy when 2 years old.	
Function: 205 003 OFFICE ADMINISTRATIVE FILES: Records		GRS 23/1 Status: Final, 1/31/2009
Function: 205 003 OFFICE ADMINISTRATIVE FILES: Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records relate to the office		Status: Final,
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OFFICE ADMINISTRATIVE FILES: Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures and communications, including facsimile machine and facility logs; the expenditure of funds, including budget papers; day-to-day administration of office personnel, including training and travel; supplies, equipment, services; routine, administrative meeting arrangements; and the use of office space and utilities. They may include copies of internal activity and workload reports (including work progress, statistical and narrative reports which are prepared in the office and forwarded to higher levels), contact lists, and other materials that do not serve as unique documentation of the programs of the office. Excludes: Record copies of organizational charts, functional statements and related records that document the essential organization, staffing and procedures of EPA that are scheduled separately. (ADMI 110) (Formerly BUDG 596) Item a: Record copy Function: 401 110 PROGRAM DEVELOPMENT FILES: Consists of	Destroy when 2 years old. Item a(1): Permanent	Status: Final,
OFFICE ADMINISTRATIVE FILES: Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. In general, these records relate to the office organization, staffing, procedures and communications, including facsimile machine and facility logs; the expenditure of funds, including budget papers; day-to-day administration of office personnel, including training and travel; supplies, equipment, services; routine, administrative meeting arrangements; and the use of office space and utilities. They may include copies of internal activity and workload reports (including work progress, statistical and narrative reports which are prepared in the office and forwarded to higher levels), contact lists, and other materials that do not serve as unique documentation of the programs of the office. Excludes: Record copies of organizational charts, functional statements and related records that document the essential organization, staffing and procedures of EPA that are scheduled separately. (ADMI 110) (Formerly BUDG 596) Item a: Record copy Function: 401 110	Destroy when 2 years old.	Status: Final, 1/31/2009

priorities, published and unpublished directives and policy guidance documents, and related records that document the development of environmental programs, program priorities and objectives, program evaluation and planning, and similar topics.

Item a(1): Record copy - Nonelectronic Item a(2): Record copy - Electronic

Item a(3): Electronic copy of records transferred to

the National Archives

Function: 304-104-02 145

Close inactive records at the end of the activity, project, or topic.

Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.

Item a(3):Disposable

Close file upon transfer to the National Archives.

Delete after electronic record copy is successfully transferred to the National Archives.

Item b: Disposable

Close inactive records at end of calendar year.

Destroy 5 years after file closure.

N1-412-06-6/2

Status: Final, 12/31/2009

PROGRAM MANAGEMENT FILES: Includes records which relate to the on-going management of programs and routine projects within programs. Types of files include both mission and operational programs and may be maintained by one or more organizational units. Specific types of records include correspondence; memoranda; staff meeting records such as agendas, background papers, attendance lists, and meeting minutes or summaries; routine office procedures; and reports relating to general policy and program matters, oversight reviews, interagency activity, research and other similar materials. Also includes project control files showing assignments, progress, and completion of projects. Excludes: General administrative and routine housekeeping records (EPA 110) and organization and program development records (EPA 145). Item b: Other than senior officials

Function: 301-093 006

REMEDIAL SITE FILES - SUPERFUND SITE SPECIFIC:

Consists of site-specific records relating to activities conducted at remedial sites by EPA and non-EPA lead entities (e.g., PRP, state, federal facilities, other).

Pre-record of decision (ROD) records - Examples of specific documents include correspondence and memoranda, quality assurance project plans (QAPPs), endangerment assessment, risk assessment, health and safety plans, potentially responsible party (PRP) searches and investigations, projects operations plans (POPs), remedial investigation (RI) reports, feasibility study (FS) reports, proposed plans for selected remedial action, and applicable or relevant and appropriate requirements (ARARs), congressional inquiries, community relations plans and other sitespecific public awareness records. Also includes a headquarters pre-ROD review package, including site -specific review requirement and review.

Post-ROD records - Examples of specific documents include correspondence and memoranda, the ROD, state concurrence letters, ROD delegation documents, responsiveness summaries, work assignments, progress reports, and other documents related to the remedial design and remedial action

Operation and Maintenance (O and M) records -Examples of specific documents related to long-term treatment measures needed to achieve cleanup objectives include correspondence and memoranda, operation and maintenance plans, monitoring

Item a:Permanent

Close inactive records at issuance of ROD for the site or operable unit and appropriate milestones thereafter.

Transfer nonelectronic records to the National Archives 30 years after file closure.

Transfer electronic records to the National Archives 5 years after file closure, with any related documentation and external finding aids, in a format as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. Delete EPA reference copy 30 years after file closure.

N1-412-06-14

Status: Final, 12/31/2010

packages. Item a: Record copy Function: 108-024-01-02 014 **ROUTINE PROCUREMENT FILES: Contains** Item a(1)(a):Disposable Agency procurement and supply records Close inactive records upon documenting the acquisition of goods and noncompletion. personal services. Documents include copies of Destroy 6 years, 3 months after file purchase documents (e.g., purchase requisitions, closure. travel authorizations, training authorizations, Item a(1)(b):Disposable contracts, credit card and bank card slips), direct deposit forms for vendors, specifications, bids, Close inactive records upon completion. schedules of delivery, initiating requisitions, receipt, inspection, and payment. Related background Destroy 3 years after file closure. material, such as computer printouts, funding Item a(2)(a):Disposable obligations reports, etc., are also covered by this Close inactive records upon completion. Excludes: Copies of purchase requisitions maintained in originating program offices covered Destroy 6 years, 3 months after file by EPA 110. Item a(1)(a): Procurement organization copy of Item a(2)(b):Disposable transactions that exceed the thresholds, dated on or Close inactive records upon after July 3, 1995 completion. Includes transactions and related papers that Destroy 3 years after file closure. exceed the simplified acquisition threshold of \$100,000 and all construction contracts exceeding Item b:Disposable \$2,000. Destroy when funds are obligated. Item a(1)(b): Procurement organization copy of Item c:Disposable transactions below the thresholds, dated on or after Destroy upon termination or July 3, 1995 completion. Includes transactions and related papers at or Item d: Disposable below the simplified acquisition threshold of Close inactive records upon \$100,000 and all construction contracts at or below \$2,000. Destroy 5 years after file closure. Item a(2)(a): Procurement organization copy of other transactions exceeding \$2000, dated earlier than July 3, 1995 Includes transactions and related papers that utilize other than small purchase procedures and all construction contracts exceeding \$2,000. Item a(2)(b): Procurement organization copy of other transactions under \$2000, dated earlier than July 3, 1995 Includes transactions and related papers that utilize small purchase procedures and all construction contracts under \$2,000 Item c: Other copies of records described above used by component elements of a procurement office for administrative purposes Item d: Data submitted to the Federal Procurement Data System (FPDS) Includes electronic data file maintained by fiscal year, containing unclassified records of all procurements, other than small purchases, and consisting of information required under 48 CFR 4.601 for transfer to the FPDS. Function: 405 036 STATE AND OTHER ENTITY PROGRAM Item a(1):Permanent **AUTHORIZATION AND APPROVAL FILES:** Close inactive records at end of year

Contains records that document the process for authorizing operation of a program by states and other entities in lieu of a federal program. Types of records include the application with background and supporting documentation, correspondence, copies of statutes and regulations, interim authorizations, and documentation of public participation activities. Also includes documents relating to EPA's review. evaluation, and determination of the program,

or after new authorization is signed.

Transfer to the National Archives in 5 year blocks 20 years after file closure.

Item a(2): Permanent

Close inactive records at end of year or after new authorization is signed.

GRS 3/3

Status: Final, 7/31/2010

N1-412-07-2/8

Status: Final, 1/31/2011

external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.	
Item a(3):Disposable Close file upon transfer to the National Archives.	
Delete after electronic record copy is successfully transferred to the National Archives.	
Item a: Disposable Close inactive records at end of year. Destroy 10 years after file closure.	N1-412-07-1/9 Status: Final, 03/30/2007
Item a:Disposable Close inactive records when employee separates or transfers. Destroy 1 year after file closure. Item b:Disposable Close inactive records at the end of the month. Destroy 6 months after file closure.	GRS 1/18 Status: Final, 02/01/2007
Item a(2):Disposable Close inactive records at end of pay period. Destroy 1 year after file closure.	N1-412-07-69/1 (Item a(2)) Status: Final, 6/30/2012
Item a:Disposable Close inactive records upon closeout of the agreement. Destroy 20 years after file closure.	N1-412-06-30 Status: Final, 02/14/2007
	in 36 CFR 1235.44-1235.50 or standards applicable at the time. Item a(3):Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives. Item a: Disposable Close inactive records at end of year. Destroy 10 years after file closure. Item b:Disposable Close inactive records when employee separates or transfers. Destroy 1 year after file closure. Item b:Disposable Close inactive records at the end of the month. Destroy 6 months after file closure. Item a(2):Disposable Close inactive records at end of pay period. Destroy 1 year after file closure.

MANAGEMENT FILES: Contains documents	Close inactive records at end of	
relating to water quality planning, management and implementation undertaken by EPA, states,	year. Transfer to the National Archives	Status: Final, 2/28/2011
interstate, regional and local agencies. Also includes documents dealing with nonpoint source	10 years after file closure.	
implementation projects and information on projects such as reservoirs, and nuclear power plants which may affect water quality. Includes	Item a(2):Permanent Close inactive records at end of year.	
water quality management plans, water quality reports, TMDLs (Total Maximum Daily Loads),	Transfer to the National Archives 5 years after file closure, with any	
load allocation working papers, water quality models, correspondence and other related documents. Item a(1): Final plans and annual	related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or	
and biennial reports - Nonelectronic Excludes: State 305(b) water quality reports	standards applicable at the time.	
submitted to Congress by the Headquarters Office of Water covered by EPA 429. Item a(2): Final plans and annual and biennial	Item a(3):Disposable Close file upon transfer to the National Archives.	
reports - Electronic Excludes: State 305(b) water quality reports submitted to Congress by the Headquarters	Delete after electronic record copy is successfully transferred to the National Archives.	
Office of Water covered by EPA 429. Item a(3): Final plans and annual and biennial reports - Electronic copy of records transferred	Item b:Disposable Close inactive records at end of year.	
to the National Archives Excludes: State 305(b) water quality reports submitted to Congress by the Headquarters	Destroy 10 years after file closure.	
Office of Water covered by EPA 429. Item b: Supporting files		
Function: 108-025-02 213		
EPA NON-RECORDS: Consists of nonrecord copies. Nonrecord materials are those Agencyowned informational materials that do not meet	Item a:Disposable Close when obsolete, superseded or no longer needed for reference.	NOT APPLICABLE
the statutory definition of records in 44 U.S.C.	Destroy immediately after file	Status: Final,
Section 3301 or that have been excluded from coverage by that definition. Examples of Non-Records: Technical Reference	closure.	02/12/2007
Materials, News Clippings, Convenience Copies, Stocks of Forms, Publications, and Processed Documents, Materials Not Appropriate for Preservation,		
Working Papers and Drafts.	EPA Locator EPA Home	
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